

SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Evelyn et al. Attorney Docket: 2955/103
 Serial No: 09/668,255 Art Group Unit: 3624
 Date Filed: September 21, 2000 Examiner Name: Colbert, E.
 Invention: System and Method for Pricing and Allocation of Commodities or Securities

**LIST OF PATENTS AND PUBLICATIONS FOR
 APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

U.S. PATENT DOCUMENTS					
Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
EC	91	US 2001/0034692 A1	10/25/01	McRedmond	
EC	92	US 6,629,081 B1	9/30/03	Hambrecht, et al.	705/37

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Reference Number	Country Code	Document Number	Publication Date	Patentee or Applicant	Class/Subclass
EC	93	WO	00/51047 A2	08-2000	Cinelli et al.	G06F 17/60

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
EC	94	Sarah Stirland	"Wall Street Is Rattled by Software That Can Remake Competitive Deals", The Bond Buyer, Aug. 21, 1996, pg. 1
EC	95	Fujishima, Yuzo, et al.,	"Speeding Up Ascending-Bid Auctions", Stanford University, Stanford, CA, pgs. 1-6.
EC	96	Milgrom, Paul	"Putting Auction Theory to Work: The Simultaneous Ascending Auction", Dept. of Economics, Stanford University, December 8, 1997, revised April 21, 1999, pgs. 1-25.
EC	97		U.S. Securities and Exchange Commission, Proposed Rule: Defining the Term "Qualified Purchaser" under the Securities Act of 1933, Release No. 33-8041; File No. S7-23-01
EC	98	Epstein, Lee	"Newcomers Guide to the Dutch Auction Process (Securities Auctions)", <u>Corporate Cashflow Magazine</u> , Vol. 11, No. 3, pg. 42(2), March 1990.

PC	99	F. T. McCarthy	"PopNet Float Shows up the Flaws," <u>The Financial News</u> , February 7, 2000, 2 pages
PC	100	John M. Dalton, Editor	" <u>The Initial Public Offering</u> ," <u>How the Stock Market Works</u> , John M. Dalton, Editor, 1993, NYIF Corp., Second Edition, pgs. 33-60.
PC	101	John Downes and John Elliot Goodman	<u>Dictionary of Finance and Investment Terms</u> , 1998, Fifth Edition, pgs. 132, 243, 600, 275.
PC	102	David Landes	Letter dated August 16, 1996, from David V. Landes to Dan Veres, with attachment
	103		IPO: Robertson, Hambrecht tap into the Net

Examiner Signature:	<u>G. Colbetti</u>
Date Considered:	<u>10/11/05</u>
<p>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation <i>if not</i> in conformance and not considered. Include copy of this form with next communication to applicant.</p>	